



## Employee Performance Evaluation Orientation

### Employee Performance Evaluation

## Overview

Performance evaluations are important opportunities for supervisors (evaluators) and employees to engage in **open dialogue** concerning employee goals and individual performance.

## Overview

The performance evaluation system should:

- Create a mutual understanding between you and your supervisor about your job duties and responsibilities
- Establish performance objectives for the appraisal period
- Identify and resolve performance issues, as necessary
- Provide evaluators with information to aid in the assessment of your job performance

## Continual Process

- The performance appraisal is a **continual process**, not restricted to the annual performance appraisal
- Supervisors are encouraged to frequently provide feedback on your progress toward completing the performance goals that were established at the beginning of the appraisal period

## Evaluation System

The Commonwealth of Kentucky's employee performance evaluation system allows you to participate in your own career development and advancement by:

- Discussing your job duties and expectations for the coming year
- Communicating with your evaluator throughout the performance year to discuss your accomplishments and successes as well as concerns or problems
- Reviewing your annual performance at the end of the annual performance period

## Evaluation System Objectives

### There are 8 Performance Evaluation Objectives:

1. Fairness and acceptability to employees
2. Improved communication between evaluator and employee
3. Coaching and feedback by the evaluator prior to the annual evaluation
4. Consistency and uniformity throughout state agencies

### Performance Evaluation Objectives (continued)

5. Improved productivity, enhanced quality, continuous improvement, and employee development
6. Tangible reward to employees
7. Required evaluator training (Supervisor) and employee orientation on the performance evaluation system
8. Provides a permanent record of performance

## Objective Detail 1

### Fairness and acceptability to employees

The basic structure of the system was developed by a group of employees.

As such, employee awareness and support to the evaluation process was viewed as critical to system success.

All employees must receive information/orientation to the system.

## Objective Detail 2

### Improved communication between evaluator and employee

Performance planning between the evaluator and employee regarding job duties and expectations is required.

Planning fosters greater understanding of what is expected of employees in the performance of their jobs.

Such understanding may help employees gauge their own work progress, develop self-confidence, and improve overall job performance.

### Objective Detail 3

#### Coaching and feedback by the evaluator prior to the annual evaluation

Three interim reviews are required during the annual performance period. At each of these reviews, the evaluator must provide the employee with feedback pertaining to performance strengths and areas needing improvement.

The interim review meetings provide the opportunity for employees to discuss accomplishments and successes as well as issues and concerns prior to the annual evaluation.

### Objective Detail 4

#### Consistency and uniformity throughout state agencies

All state agencies must use the same evaluation form.

All eligible employees are evaluated and rated on individual performance based upon job related factors.

## Objective Detail 5

Improved productivity, enhanced quality, continuous improvement, and employee development

When used properly, the system helps employees more clearly understand their job duties and expectations.

A solid understanding of the required performance expected along with effective coaching and feedback can translate into improved productivity, enhanced quality, continuous improvement and employee development.

## Objective Detail 6

Tangible reward to employees

Annual leave shall be awarded to employees who receive either of the two highest overall ratings.

This allows agencies/evaluators to reward job success that exceeds the required expectations and provides an incentive for employees to improve.

## Objective Detail 7

Required evaluator training (Supervisor) and employee orientation on the performance evaluation system

All evaluators must complete training on the employee performance evaluation system prior to completing performance planning, interim review meetings, and annual evaluations on eligible employees.

The training is designed to ensure that evaluations are completed consistently.

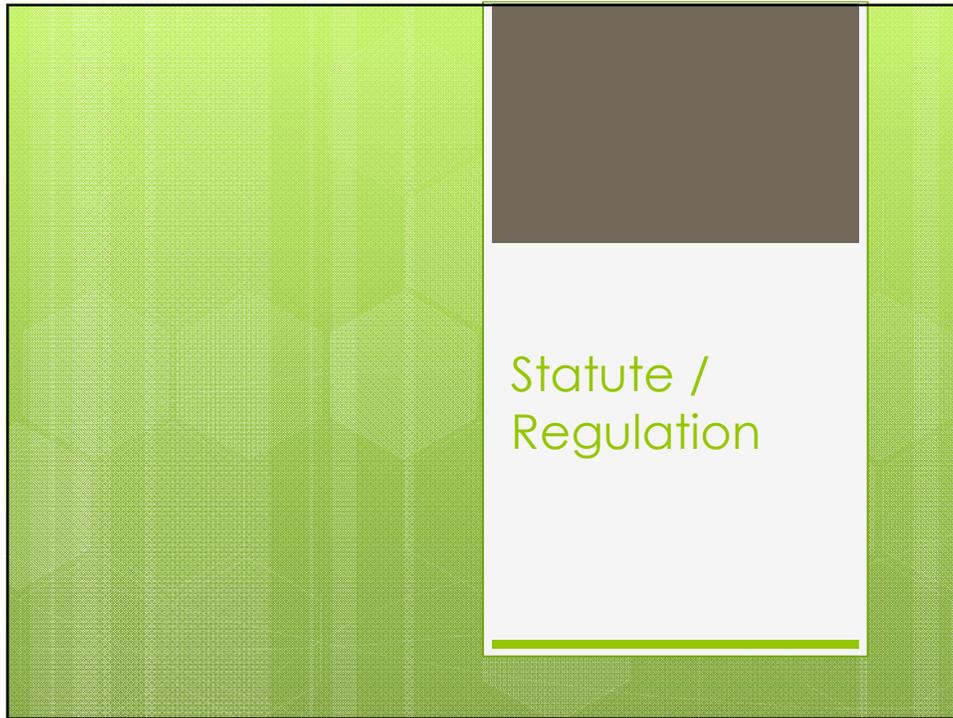
Employees are required to complete an orientation to the evaluation system.

## Objective Detail 8

Provides a permanent record of performance

The annual evaluation form and supporting documentation shall be a permanent record of performance, and shall be included in the employee's agency personnel file.

This record shall be considered in determining salary advancements, promotions, and disciplinary actions. Many agencies review evaluations to assist in making hiring decisions.



**Definition**

## Statutes and Regulations

- The Commonwealth of Kentucky constitution gives the General Assembly the ability to pass laws, in the form of bills, which then become part of the Kentucky Revised Statutes (KRS).
- These statutes are broad in nature and in most cases give state agencies the authority to promulgate administrative regulations, which become part of the Kentucky Administrative Regulations (KARs). These regulations refer back to a statute, and give more clarity and direction.

***The following slides detail the statutes and regulations related to the employee performance evaluation system.***

## **KRS 18A.110**

Requires the Secretary of the Personnel Cabinet to promulgate comprehensive administrative regulations for classified service employees, to provide for uniform standards and methods of evaluating work performance of all employees, and for the use of such methods of evaluation in personnel actions involving discretionary salary advancements, promotions, disciplinary actions and for the development and operation of programs to improve work effectiveness of employees.

## **KRS 18A.110 – Statute**

The statute as relates to the employee performance evaluation system reads as follows:

KRS 18A.110 (1)(i)  
Employee evaluations.

## **KRS 18A.110 – Statute**

KRS 18A.110 (7)(j)

For a uniform system of annual employee evaluation for classified employees, with status, that shall be considered in determining eligibility for discretionary salary advancements, promotions, and disciplinary actions. The administrative regulations shall:

1. Require the secretary to determine the appropriate number of job categories to be evaluated and a method for rating each category;

## **KRS 18A.110 (7)(j)(continued)**

2. Provide for periodic informal reviews during the evaluation period which shall be documented on the evaluation form and pertinent comments by either the employee or supervisor may be included;
3. Establish a procedure for internal dispute resolution with respect to the final evaluation rating;
4. Permit a classified employee, with status, who receives either of the two (2) lowest possible evaluation ratings to appeal to the Personnel Board for review after exhausting the internal dispute resolution procedure. The final evaluation shall not include supervisor comments on ratings other than the lowest two (2) ratings;

### **KRS 18A.110 (7)(j)(continued)**

5. Require that an employee who receives the highest possible rating shall receive the equivalent of two (2) workdays, not to exceed sixteen (16) hours, credited to his or her annual leave balance. An employee who receives the second highest possible rating shall receive the equivalent of one (1) workday, not to exceed eight (8) hours, credited to his or her annual leave balance; and
6. Require that an employee who receives the lowest possible evaluation rating shall either be demoted to a position commensurate with the employee's skills and abilities or be terminated.

### **KRS 18A.095 – Statute**

Has been amended in regards to the employee performance evaluation system to read as follows:

KRS 18A.095 (15)

An evaluation may be appealed to the board if an employee has complied with the review procedure established in subsection (7)(j) of Section 1 of this Act.

## 101 KAR 2:180 – Regulation

NECESSITY, FUNCTION and CONFORMITY:

KRS 18A.110 (1)(i) and (7)(j) requires the Secretary of the Personnel Cabinet to promulgate comprehensive administrative regulations for classified service employees to establish a uniform system of annual employee evaluations for classified employees.

This administrative regulation establishes the uniform employee performance evaluation system.

## 101 KAR 2:180

### Section 1. General Provisions

- (1) The annual performance period shall be one (1) calendar year beginning on January 1.
- (2) Except as provided in subsection (4)(d) of this section, performance evaluations shall be completed no later than thirty (30) calendar days after the end of the annual performance period.
- (3) All agencies shall use the [Annual Employee Performance Evaluation form](#).

Form:

# Employee Performance Evaluation form

KENTUCKY STATE GOVERNMENT  
PERSONNEL CABINET 11/2011

**ANNUAL EMPLOYEE PERFORMANCE EVALUATION**

NAME: Lucy D. Lewis PERSONNEL #: 00182106  
 JOB TITLE: Administrative Specialist III JOB ID #: 20001826  
 CABINET/DEPARTMENT #: 53793 ORG ID #: 10101819  
 ORG TITLE: Office of the Secretary  
 POSITION #: 32083727

REVIEW PERIOD: FROM: TO  
 Add or Change Performance Plan:  New Job Title Begin Date:   
 New Position Begin Date:   
 Other: Begin Date:   
 EVALUATOR: NEXT LINE SUPERVISOR:

**PERFORMANCE PLANNING**

INSTRUCTIONS: List job duties under each category and identify the expectations to "adequately meet" the job requirements. Distribute 100 points between the four (4) categories. **AT END OF YEAR**, the evaluator, multiply by points assigned, place sum in last column, and total each category. Record these category totals in the Performance Evaluation Section A, of the evaluation form.

| DUTIES  | PTS | EXPECTATIONS   | RATING |   |   |   |   | TOTAL<br>Points<br>Possible |
|---|-----|--|--------|---|---|---|---|-----------------------------|
|   |     |  | 1      | 2 | 3 | 4 | 5 |                             |
| Provides Administrative Support                       | 35  | Provides Administrative support to the Division staff by routing incoming phone calls and requests for assistance within 24 hours of receipt. Assists with delivery of Division mail by 4 PM each day and in accordance with interoffice policies and procedures. Delivers Division paychecks each pay date by 9 AM. |        |   |   |   |   |                             |
| Assists with batching and scanning Division documents | 25  | Assists with batching and scanning backup documents for the Processing and Records Branch each day by 4:30 PM. Upon request batches and scans special documents for the Director's Office by the given completion time/date.   |        |   |   |   |   |                             |
| Maintains the Divisions supplies and materials        | 5   | Maintains the Divisions supplies and materials inventory by contacting division staff to determine the required stock requirements.  |        |   |   |   |   |                             |

## Section 1 – General Provisions

- (4) (a) Except as provided in paragraph (b) or (c) of this subsection, the first line supervisor of an employee at the time the evaluation is due shall be the evaluator.
- (b) If the first line supervisor has not supervised the employee for sixty (60) calendar days during the performance year, the next line supervisor who meets the sixty (60) day requirement shall be the evaluator.

## Section 1 – General Provisions

- (c) If an employee changes jobs or reports to a different supervisor on or before November 1 of the performance year, the agency shall transfer all performance evaluation documentation for the performance year to the new evaluator for incorporation in the annual evaluation.
- (d) If an employee changes jobs or reports to a different supervisor after November 1 of the performance year, the annual evaluation shall be completed by the former supervisor prior to the job change.

## Section 1 – General Provisions

- (5) (a) Except as provided in paragraph (b) of this subsection, the evaluator shall establish a performance plan for each eligible employee no later than thirty (30) calendar days after the start of the performance period.

## Section 1 – General Provisions

- (b) If an employee's position or job title changes during the performance year, the evaluator shall establish a new performance plan no later than thirty (30) calendar days after the start of the position or job title change. The new performance plan shall become a part of the original performance year evaluation documentation.
- (6) The evaluator shall meet with the employee when completing the performance plan to discuss job duties and expectations.

## Section 1 – General Provisions

- (7) Performance evaluations shall be in writing. The evaluator shall:
  - (a) Present and explain all documentation relevant to an employee's performance evaluation;
  - (b) Discuss both the positive and negative aspects of performance with the employee at the annual evaluation;
  - (c) Elicit the employee's opinions and concerns; and
  - (d) Discuss measures to improve or enhance performance with the employee.

## Section 1 – General Provisions

- (8) The Personnel Cabinet or agency personnel shall provide supervisor evaluation training on the performance evaluation system.
- (a) The appointing authority shall require that supervisor evaluation training is completed prior to completing performance planning, interim reviews, and annual evaluations of employees.
  - (b) The Personnel Cabinet shall monitor and validate compliance with supervisor evaluation training requirements.

### Note

- All evaluators must complete the classroom based training course “**Performance Matters**” offered by the Performance Management Program Consultants in the Personnel Cabinet or by approved agency personnel.
- This course requirement must be fulfilled **before** evaluators can complete performance plans, interim reviews, or annual performance evaluations.

## **Section 1 – General Provisions**

- (9) An employee shall complete orientation to the performance evaluation system prior to January 1 of the employee's initial performance evaluation period.
- (10) Except as authorized by the appointing authority, an evaluator shall complete required performance planning, interim reviews and annual evaluations for each eligible employee. If the appointing authority approves the exception, written justification for the decision shall be placed in the employee's personnel file.

## **Section 2 – Employee Eligibility**

Performance evaluations shall be completed for all full-time classified employees with status at the beginning of the performance year who have remained in continuous merit status throughout the performance year.

**Example:**

If an employee is on initial probation during a performance year, this employee would not be eligible to be evaluated through the evaluation program because the employee was not in continuous merit status for the entire performance year.

NOTE: Although an employee may not be eligible to be evaluated through the evaluation system, supervisors should still communicate with the employee regarding job tasks, performance expectations, and any concerns.

**Section 3 – Performance Planning**

- (1) The performance plan shall specify job responsibilities and expectations in the four (4) categories established in this subsection:
  - (a) Job tasks.
    1. The job tasks category shall identify specific duties and expectations of the position held by the employee.
    2. The employee's job duties shall be consistent with the position description.
    3. Duties and expectations shall be in writing.
    4. The evaluator shall assign points to identified duties and expectations.

**Definition:**

## What is a Position Description (PD)?

A position description is a statement of the major duties, responsibilities, supervisory relationships, organizational location, and any other aspects of a given position that may be necessary for proper classification.

**Form:**

## Job Tasks

| DUTIES   |  | PTS | EXPECTATIONS   |
|--|--|-----|--|
| Job Tasks (Minimum 50 points)<br>Job duties must be weighted consistently with the employee's Position Description (PD). |  |     |  |
| Provides Administrative Support  |  | 35  | Provides Administrative support to the Division staff by routing incoming phone calls and requests for assistance within 24 hours of receipt. Assists with delivery of Division mail by 4 PM each day and in accordance with interoffice policies and procedures. Delivers Division paychecks each pay date by 9 <u>AM</u> . |
| Assists with batching and scanning Division documents  |  | 25  | Assists with batching and scanning backup documents for the Processing and Records Branch each day by 4:30 PM. Upon request batches and scans special documents for the Director's Office by the given completion time/date.   |

## Section 3 – Performance Planning

(b) Adaptability/Initiative.

1. The adaptability/initiative category shall identify job requirements of the agency.
2. The evaluator shall place each requirement under this category in writing and assign points weighted by importance.

Form:

### Adaptability / Initiative

| DUTIES   |  | PTS | EXPECTATIONS  |
|--|--|-----|---|
| Adaptability/Initiative (Minimum 5 points, weighted by importance) |  |     |   |
| Demonstration of Initiative  |  | 3   | Agrees to take responsibility for job duties and actions. Employee is knowledgeable about what is required and resources available to complete assigned job tasks. Demonstrates the ability to perform job tasks without constant supervision but seeks advice in unfamiliar situations. Accepts change and is willing to respond to new job tasks for the benefit of the agency. |
| Management of Job Related Requests/Demands                         |  | 5   | Demonstrates adaptability by managing work related tasks determined by the employee's work flow, supervisor, agency or cabinet. Employee keeps documentation of job tasks and changes in priorities and makes available upon request by supervisor.   |

## Section 3 – Performance Planning

(c) Communication/teamwork.

1. The communication/teamwork category shall identify requirements of the agency.
2. The evaluator shall place each requirement under this category in writing and assign points weighted by importance.

Form:

### Communication / Teamwork

| DUTIES  | PTS | EXPECTATIONS  |
|---|-----|---|
| Communication/Teamwork (Minimum 5 points, weighted by importance) |     |   |
| Communication with coworkers/staff and others                     | 5   | Provides specific job related information/guidance in a courteous way to coworkers /staff, supervisor, agencies/cabinets or the public upon request or as the need is recognized. Keeps supervisor informed of job related progress or concerns using the established reporting method. |
| Employee Behavior   | 4   | Employee's behavior is ethical, courteous, respectful and professional to coworkers/staff, supervisor, agencies/cabinets and the public. There are no reports concerning discourteous employee behavior.  |

## Section 3 – Performance Planning

### (d) Self-management.

1. The self-management category shall identify requirements of the agency relating to workplace standards that shall include:
  - a. Attendance;
  - b. Punctuality;
  - c. Career development;
  - d. Responsibility; and
  - e. Dependability.

Form:

## Self-Management

| DUTIES<br>Self Management (Minimum 5 points, weighted by importance) | PTS | EXPECTATIONS   |
|--|-----|--|
| <b>Attendance</b>  | 5   | Sick, annual and comp leave are accrued and used according to regulation and agency policy. Annual and comp leave requests are submitted in writing to supervisor and approved in advance. Leave time is managed so that it does not harmfully affect work performance.                        |
| <b>Punctuality</b>   | 3   | Employee arrives to and leaves their workstation when scheduled. Complies with time allowed for lunch and breaks.  |
| <b>Dependability/Responsibility</b>                                  | 3   | Abides by the due dates for assigned job tasks. Accepts responsibility for own actions and work output. Employee complies with federal, state and agency policies and procedures including those regarding, safety, confidentiality, harassment, workplace violence and computer/internet use. |
| <b>Career Development</b>  | 2   | Seeks and accepts career development opportunities. Completes a minimum of six (6) job related training or professional development hours per year.  |

### **Section 3 – Performance Planning**

2. The evaluator shall place each requirement under this category in writing and assign points weighted by importance.
3. The evaluator shall develop the performance plan after consultation with the employee.
  - a. The employee and evaluator shall certify in writing in the performance planning section of the evaluation form that the employee has met with the evaluator and is aware of the performance plan.

### **Section 3 – Performance Planning**

- b. The next line supervisor shall certify that he or she has reviewed the duties and expectations of the employee and finds them to be reasonable and appropriate based upon the employee's classification.

Form:

## Performance Plan Signature Page

This is to acknowledge that I have met with my evaluator to discuss my job duties and expectations.

*Jane Employee*  
\_\_\_\_\_  
EMPLOYEE SIGNATURE

1/17/12  
DATE

I certify that I have completed the training requirement as stated in 101 KAR 2:180 and that I have met with the employee to discuss his/her job duties and expectations.

*John Supervisor*  
\_\_\_\_\_  
EVALUATOR SIGNATURE

1/17/12  
DATE

I HAVE REVIEWED THE DUTIES AND EXPECTATION OF THIS EMPLOYEE AND FIND THEM TO BE REASONABLE AND APPROPRIATE.

(Witness Signature Must Be in Presence of Employee & Evaluator)  
\_\_\_\_\_  
WITNESS SIGNATURE

DATE

*Janet Supervisor*  
\_\_\_\_\_  
NEXT LINE SUPERVISOR SIGNATURE

1/19/12  
DATE

Form:

## Section 3 – Performance Planning

(2) Total points assigned for all four (4) categories shall equal 100 total points. The evaluator shall distribute points among the four (4) categories as follows:

- (a) The job tasks category shall have a minimum of fifty (50) points designated; and
- (b) The other three (3) categories shall have a minimum of five (5) points designated to each category.

## Section 3 – Performance Planning

- (3) To obtain the point total for each category, points assigned to each job duty within each category shall be multiplied by the numerical rating provided by the evaluator, as described in Section 5(3) of this administrative regulation.
- (4) Total points in all four (4) categories shall be added to obtain a final performance evaluation score.

Form:

## Points X Rating = Total

| DUTIES<br>Job Tasks (Minimum 50 points)<br>Job duties must be weighted consistently with the employee's Position Description (PD).                    | PTS | EXPECTATIONS  | RATING |   |   |   |     | TOTAL<br>Points x<br>Rating =<br>Total |
|---|-----|---|--------|---|---|---|-----|--|
|   |     |   | 1      | 2 | 3 | 4 | 5   |  |
| Provides Administrative Support   | 35  | Provides Administrative support to the Division staff by routing incoming phone calls and requests for assistance within 24 hours of receipt. Assists with delivery of Division mail by 4 PM each day and in accordance with interoffice policies and procedures. Delivers Division paychecks each pay date by 9 AM.                                  |        |   | X |   |     | 105                                    |
| Assists with batching and scanning Division documents   | 15  | Assists with batching and scanning backup documents for the Processing and Records Branch each day by 4:30 PM. Upon request batches and scans special documents for the Director's Office by the given completion time/date.  |        |   |   | X |     | 60                                     |
| Maintains the Divisions supplies and materials  | 7   | Maintains the Divisions supplies and materials inventory by contacting division staff to document the required and requested supplies. Makes requisitions for needed supplies by 4:30 on the first day of each month in accordance with interoffice policies and procedures.  |        |   |   | X |     | 28                                     |
| Employee Will Be Assessed On The Following Job Task:<br>Evaluation of Employee Performance.<br>(Do not assign points if employee is not an evaluator) |     | Completes all required performance evaluation system trainings, meetings and documentation as outlined by 305 IAC 2.1-2.3. Exercises and demonstrates fair and equitable treatment of all employees in accordance with all federal and state employment laws and related Executive Orders including the agency's policies, guidelines and procedures. |        |   |   |   |     |  |
| Category Total  |     |   |        |   |   |   | 193 |  |

## **Section 4 – Performance Coaching and Feedback**

- (1) Modification of the performance plan may occur during the performance evaluation period if the changes are consistent with the duties reflected on an employee's position description.
  - (a) The employee shall be given written notice of changes to the performance plan.
  - (b) Changes to the performance plan shall be indicated on the evaluation form or on a supplemental sheet attached to the form.

## **Section 4 – Performance Coaching and Feedback**

- (c) Changes to the performance plan shall be initialed and dated by the evaluator and the employee when changes become effective.

## Section 4 – Performance Coaching and Feedback

- (2) Three (3) interim reviews shall be required during a performance year.
  - (a) The evaluator shall document the interim reviews.
    - 1. Interim reviews shall not contain a rating.
    - 2. The interim meeting section of the evaluation form shall contain comments by the evaluator for each category established in Section 3(1) of this administrative regulation.

Form:

## Interim Review Meeting Documentation

3<sup>rd</sup> INTERIM REVIEW MEETING DOCUMENTATION      Review Period: From  To

2<sup>nd</sup> INTERIM REVIEW MEETING DOCUMENTATION      Review Period: From  To

1<sup>st</sup> INTERIM REVIEW MEETING DOCUMENTATION      Review Period: From  To

**EVALUATOR INSTRUCTIONS:** Interim reviews must document performance to justify the annual performance rating.  
 Discuss both positive and negative aspects in all categories of performance. Relevant comments by the evaluator should be documented in the area below. A plan for improving performance may be developed for categories which are below expectations.

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JOB TASKS:

ADAPTABILITY/INITIATIVE:

COMMUNICATION/TEAMWORK:

SELF MANAGEMENT:

- Attendance:
- Punctuality:
- Dependability/Responsibility:
- Career Development:

## Section 4 – Performance Coaching and Feedback

- (b) The employee and evaluator shall sign the performance evaluation form to certify that the interim reviews occurred.
- (c) For consideration in the annual year evaluation, the employee may attach pertinent comments relating to the interim review within five (5) working days of the interim review meeting.

Form:

## Interim Review Signature Page

This is to certify that I have met with my evaluator to discuss my job performance during the first review period, as outlined in my performance plan. I understand that by signing below does not indicate my agreement with the above.

I have attached additional pertinent comments. (To be considered in the annual evaluation, comments must be attached within five (5) workdays of interim meeting.)

|   |   |  |   |
|---|---|--|---|
| <p><i>Jane Employee</i></p> <hr style="border: 0; border-top: 1px solid black;"/> <small>(Signature Must Be In Red Ink Unless Electronically Signed)</small><br><b>EMPLOYEE SIGNATURE</b> | <p><i>5/19/12</i></p> <hr style="border: 0; border-top: 1px solid black;"/> <b>DATE</b> | <p><i>John Supervisor</i></p> <hr style="border: 0; border-top: 1px solid black;"/> <small>(Signature Must Be In Red Ink Unless Electronically Signed)</small><br><b>EVALUATOR SIGNATURE</b> | <p><i>5/19/12</i></p> <hr style="border: 0; border-top: 1px solid black;"/> <b>DATE</b> |
| <p><small>(Witness Signature Must Be In Red Ink If Employee Refuses To Sign)</small></p> <hr style="border: 0; border-top: 1px solid black;"/> <b>WITNESS SIGNATURE</b>                   | <hr style="border: 0; border-top: 1px solid black;"/> <b>DATE</b>                       |  |   |

## **Section 4 – Performance Coaching and Feedback**

- (d) Except as requested by the appointing authority and authorized by the Secretary of Personnel, the evaluator shall schedule interim reviews to discuss performance January 1 through April 30, May 1 through August 31, and September 1 through December 31.

## **Section 4 – Performance Coaching and Feedback**

- (e) Interim reviews shall be completed no later than thirty (30) calendar days after the end of each interim review period.
- (f) Interim reviews shall document performance to justify the annual performance rating.

Examples:

## Appropriate Documentation

- Work samples
- Letters of commendation
- Emails related to work projects and outcomes
- Certificates of completion
- Quantitative performance records
- Disciplinary notes or forms
- Factual details about work related situations and performance

Examples:

## Inappropriate Documentation

- Gossip
- Unsubstantiated comments from others
- Personal feelings or comments
- Accusations that have not been investigated
- Medical diagnosis or comments regarding medical conditions
- Reference to employee being on specified types of leave

## **Section 5 – Performance Evaluations and Ratings**

- (1) Except as provided in Section 1 (4)(d) of this administrative regulation, the evaluator and the employee shall meet no later than thirty (30) calendar days after the performance period ends to discuss the performance ratings.
- (2) Eligible employees shall be evaluated in the four (4) categories described in Section 3 of this administrative regulation.

## **Section 5 – Performance Evaluations and Ratings**

- (3) All job duties identified within the categories shall be rated on a scale of one (1) to five (5), with five (5) representing superior performance.

## Section 5 – Performance Evaluations and Ratings

- (4) The final performance evaluation shall consist of a defined numerical rating. Point values for the overall performance rating shall be:
- (a) Outstanding: 450 to 500 points;
  - (b) Highly effective: 350 to 449 points;
  - (c) Good: 250 to 349 points;
  - (d) Needs Improvement: 150 to 249 points;
  - (e) Unacceptable: less than 150 points.

## Section 5 – Performance Evaluations and Ratings

- (5) Unresolved disagreements on ratings or any aspect of the performance evaluation shall be reviewed through the reconsideration process established in Section 7 of this administrative regulation.

## Section 5 – Performance Evaluations and Ratings

- (6) Signatures of the evaluator, employee, and next line supervisor shall be required on the final evaluation.
  - (a) The next line supervisor shall sign the evaluation after it is completed, signed, and dated by the evaluator and the employee.

Form:

## Final Evaluation Signature Page

**C. EMPLOYEE RESPONSE:**

- Agree with performance evaluation.
- Disagree with performance evaluation, but accept.
- Disagree with performance evaluation and request reconsideration. Within 5 work days of the final performance evaluation meeting date, the Initial Reconsideration shall be conducted by the evaluator. NOTE: Employee signature is required to request reconsideration.

\*\*\*\*\*

This is to certify that I have met with my evaluator to discuss my final performance evaluation.

I certify that I have completed the training requirements as stated in 101 KAR 2:180 and that I have met with the employee to discuss his/her annual performance evaluation.

|  |  |   |  |
|--|--|---|--|
| <br><small>(Signature Must Be in Red Ink Unless Electronically Signed)</small>    | <br><b>DATE</b> | <br><small>(Signature Must Be in Red Ink Unless Electronically Signed)</small> | <br><b>DATE</b> |
| <b>EMPLOYEE SIGNATURE</b>  |  | <b>EVALUATOR SIGNATURE</b>  |  |
| <br><small>(Witness Signature Must Be in Red if Employee Refused To Sign)</small> | <br><b>DATE</b> | <br><small>(Signature Must Be in Red Ink Unless Electronically Signed)</small> | <br><b>DATE</b> |
| <b>WITNESS SIGNATURE</b>   |  | <b>NEXT LINE SUPERVISOR SIGNATURE</b>   |  |

## Section 5 – Performance Evaluations and Ratings

- (b) For the purpose of evaluating or managing the performance of the evaluator, the next line supervisor's signature shall certify that he or she is aware of the evaluation and has reviewed it.
- (c) Exceptions to this requirement may be requested by the appointing authority and shall be subject to the approval of the Secretary of Personnel.

## Section 6 – Performance Incentives

Annual leave shall be awarded as a performance incentive at the following rates:

- (1) Two (2) workdays, not to exceed sixteen (16) hours, for an "Outstanding" rating; or
- (2) One (1) workday, not to exceed eight (8) hours, for a "Highly Effective" rating.

## Section 7 – Reconsideration and Appeal Process

- (1) Within five (5) working days of a performance evaluation, an employee may request initial reconsideration of the performance evaluation by the evaluator.
- (2) Within five (5) working days of the receipt of the request for reconsideration, the evaluator shall respond to the request in writing.

Form:

## Reconsideration Request

| FINAL PERFORMANCE EVALUATION |              |
|------------------------------|--------------|
| <b>A. CATEGORIES</b>         | <b>SCORE</b> |
| Job Tasks                    | 193          |
| Adaptability                 | 38           |
| Communication/Teamwork       | 42           |
| Self Management              | 48           |
| <b>TOTAL</b>                 | <b>321</b>   |

**B. OVERALL PERFORMANCE EVALUATION.**  
 This employee's work:

Outstanding (450 and above)  
 Highly Effective (350 to 449)  
 Good (250 to 349)  
 Needs Improvement (150 to 249)  
 Unacceptable (149 or less)

Employee has changed jobs after November 1 of the performance year and will report to a different supervisor. The final evaluation is being conducted prior to the job change.

**C. EMPLOYEE RESPONSE:**

Agree with performance evaluation.  
 Disagree with performance evaluation, but accept.  
 Disagree with performance evaluation and request reconsideration. Within 5 work days of the final performance evaluation meeting date, the initial Reconsideration shall be conducted by the evaluator. NOTE: Employee signature is required to request reconsideration.

.....

This is to certify that I have met with my evaluator to discuss my final performance evaluation.

*Jane Employee*      01/20/11  
Signature must be in red ink unless electronically signed      DATE

**EMPLOYEE SIGNATURE**

I certify that I have completed the training requirements as stated in 101 KAR 2:180 and that I have met with the employee to discuss his/her annual performance evaluation.

*John Supervisor*      01/20/11  
Signature must be in red ink unless electronically signed      DATE

**EVALUATOR SIGNATURE**

## **Section 7 – Reconsideration and Appeal Process**

- (3) If the employee refuses to sign the form in the employee response section, the evaluation shall not be eligible for reconsideration.

## **Section 7 – Reconsideration and Appeal Process**

- (4) Within five (5) working days after the initial reconsideration by the evaluator, an employee may submit a written request for reconsideration of the evaluation by the next line supervisor. If neither the evaluator nor the next line supervisor respond to the request for reconsideration in the designated time period, the employee may submit a written request to the appointing authority for response to the request for reconsideration and compliance with this administrative regulation.

## Section 7 – Reconsideration and Appeal Process

- (5) The next line supervisor shall:
  - (a) Obtain written statements from both the employee and the evaluator; or
  - (b) Meet individually with the employee and the evaluator.
- (6) The next line supervisor shall inform both the employee and evaluator in writing of the decision no later than fifteen (15) working days after receipt of the employee's request.

Form:

## Results of Reconsideration Signature Page

**D. RESULTS OF INITIAL RECONSIDERATION.** Must be conducted within five (5) workdays from date signed above. (Within five (5) workdays after initial reconsideration, the employee may submit a written request for reconsideration by the next line supervisor.)

|  |   |
|--|---|
| <input type="checkbox"/> No change on evaluation | <input type="checkbox"/> Agree with Results of Initial Reconsideration  |
| <input type="checkbox"/> Change on evaluation    | <input type="checkbox"/> Disagree with Results of Initial Reconsideration and request reconsideration by next line supervisor |

|   |                              |  |                              |
|---|------------------------------|--|------------------------------|
| <input type="text"/><br><small>(Signature Must Be in Red Ink Unless Electronically Signed)</small><br>EVALUATOR SIGNATURE | <input type="text"/><br>DATE | <input type="text"/><br><small>(Signature Must Be in Red Ink Unless Electronically Signed)</small><br>EMPLOYEE SIGNATURE | <input type="text"/><br>DATE |
|---|------------------------------|--|------------------------------|

**E. RESULTS OF FINAL RECONSIDERATION.** Must be completed and written response provided to the employee and evaluator within fifteen (15) workdays after receipt of employee request. The written final reconsideration response must be attached to this Annual Employee Performance Evaluation Form and will become a part of the employee's personnel file.

|  |   |
|--|---|
| <input type="checkbox"/> No Change on Evaluation | <input type="checkbox"/> Change on Evaluation |
|--|---|

|  |                              |
|--|------------------------------|
| <input type="text"/><br><small>(Signature Must Be in Red Ink Unless Electronically Signed)</small><br>NEXT LINE SUPERVISOR SIGNATURE | <input type="text"/><br>DATE |
|--|------------------------------|

The result of reconsideration may be appealed if the employee has an overall rating in either of the two (2) lowest overall ratings and makes a written appeal to the Personnel Board within sixty (60) calendar days of final reconsideration.

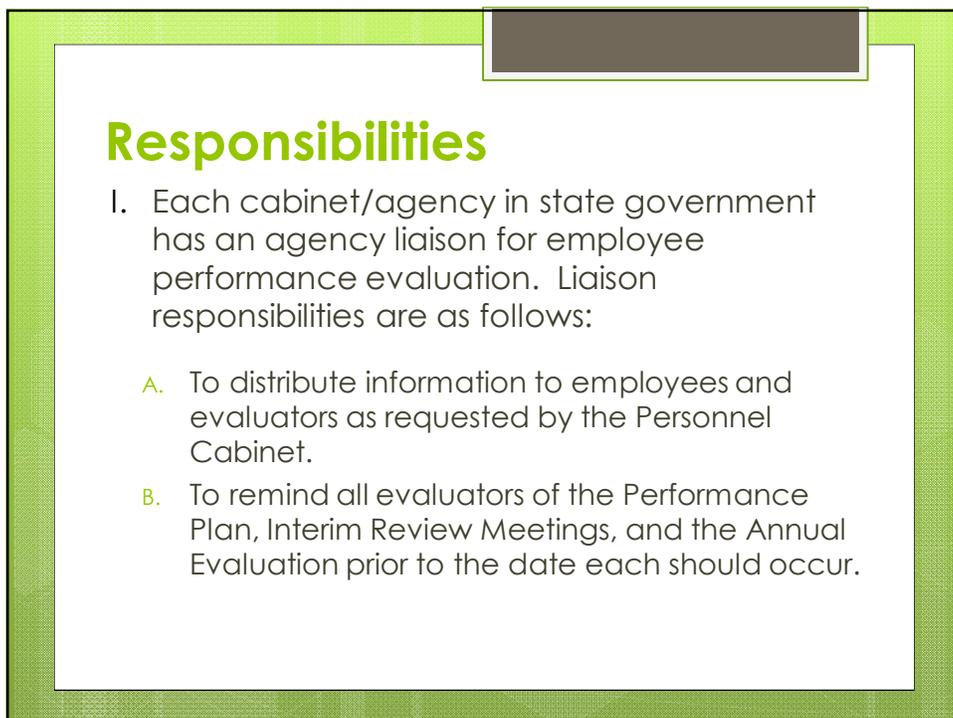
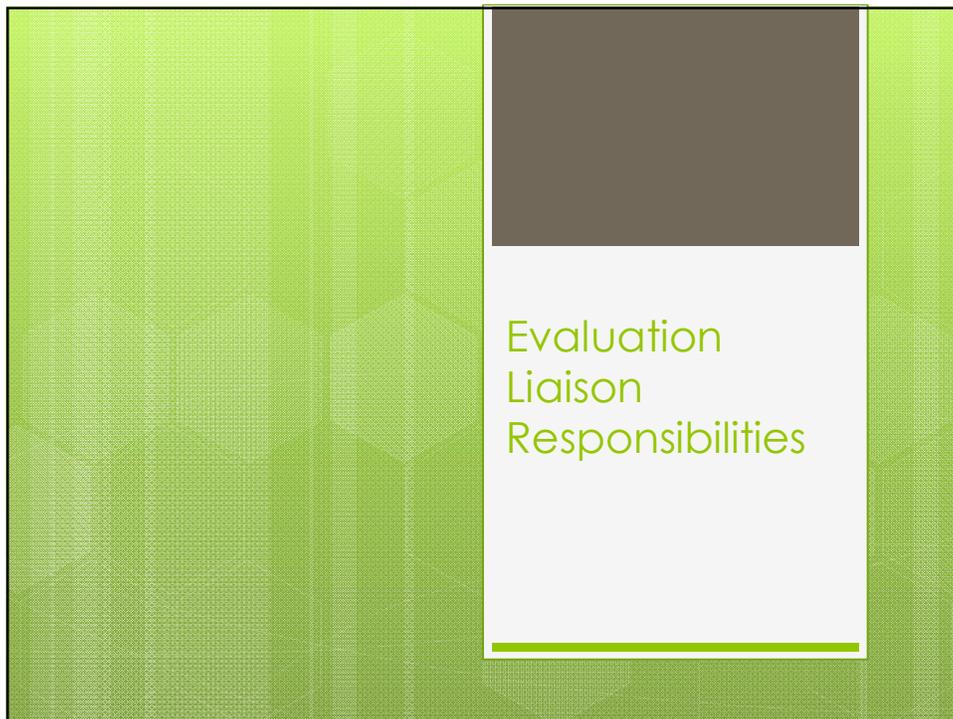
## **Section 7 – Reconsideration and Appeal Process**

- (7) Within sixty (60) calendar days after an employee has received the written decision from the next line supervisor, the employee who has complied with this administrative regulation may appeal a final evaluation which has an overall rating in either of the two (2) lowest overall ratings to the Personnel Board.

## **Section 8 – Evaluation Based Agency Action**

If an employee receives an overall rating of “Unacceptable”, the agency shall:

- (1) Demote the employee to a position commensurate with the employee's skills and abilities; or
- (2) Terminate the employee.



## Responsibilities

- c. To provide necessary employee performance evaluation forms, handbooks, standardized agency expectations, and/or other agency management directives.

## Responsibilities

- II. To coordinate all employee performance evaluation training within the agency. This will involve the following:
  - A. Identification of all staff person(s) who train or assist in training of evaluators in the agency.
  - B. To attend required training on employee performance evaluation given by the Personnel Cabinet. This training is also required for any persons who will assist in training.

## Responsibilities

- C. To maintain a current listing of evaluators who have completed performance evaluation training.
- D. To monitor the supervisory staff changes and performance evaluation training conducted within the agency to ensure the following:
  - 1. that all persons who evaluate receive the required training.
  - 2. that all training be consistent with information explained in 101 KAR 2:180.

## Responsibilities

- III. To monitor evaluator compliance in all meetings required by the employee performance evaluation process.
- IV. To counsel and advise evaluators as needed on issues relating to the evaluation of employees.
- V. To submit to the Personnel Cabinet the year-end rating information on all employees eligible for annual performance evaluations.

## Responsibilities

- VI. To maintain all employee evaluation documents in the agency's central personnel file.
- VII. To complete reports and assist in the auditing of evaluation documents as requested by the Personnel Cabinet to be used in monitoring the performance evaluation system.

Summary

## Performance Management: The Employee's Role

- Actively participate in the evaluation process. Performance management is a continuous, two-way process between the employee and the supervisor
- Provide evaluator/supervisor with input on skills and interests
- Document job performance, accomplishments, and successes and share with evaluator
- Be open to feedback and continuous improvement
- Discuss both positive aspects and potential areas of enhancement

## Performance Plan:

- A performance plan will be developed consisting of duties in the categories of Job Tasks, Adaptability/Initiative, Communication/Teamwork, and Self-Management
- The job tasks on the performance plan should be consistent with the position description
- Each job task should have expectations that are specific, measurable, attainable, and relevant

## Interim Reviews:

- The evaluator is required to schedule interim reviews to discuss the following performance periods: January 1-April 30, May 1-August 31 and September 1-December 31
- Interim review meetings are to be conducted no later than May 30, September 30, and January 30
- Interim reviews should document performance that supports the annual performance rating
- Interim reviews should document accomplishments and successes as well as areas of improvement
- Interim review meetings should be interactive and involve discussion and feedback from both the evaluator and the employee

## Annual Performance Review:

- The evaluator is required to meet with eligible employees no later than 30 calendar days after the end of the annual performance period to discuss performance ratings
- Final annual performance rating should be supported with work performance examples and documentation
- Examples of appropriate documentation may include emails related to work projects, letters of commendation, work samples, quantitative records, and certificates of completion
- Unresolved disagreements on any aspect of the evaluation are required to be reviewed through the reconsideration process established in regulation

### Resources:

If you have questions regarding the employee performance evaluation program, please contact your [agency evaluation liaison](#).

Personnel Cabinet Performance Management website:

<https://personnel.ky.gov/Pages/learning-PerfEval.aspx>

Kentucky Law

<http://www.lrc.ky.gov/Law.htm>

KRS 18A.110  
101 KAR 2:180

NOTE: Click the above links to access the agency liaison list and the Personnel Cabinet and Kentucky law websites.

### Form:

## Employee Acknowledgement Form

Upon completion of this course, please print and sign the Acknowledgement Form and forward the completed form to your supervisor.

Click this link to access the form:

[Acknowledgement Form](#)

## End of Course

### Congratulations!

You have completed the Employee Performance Evaluation Orientation.

We hope you found the content informative and helpful.

*Thank you for completing this course.*